TRICARE

HIPAA Transaction
Standard Companion Guide

ASC X12N 276/277 (005010X212)
Health Care Claim Status Request and Response

Version 1.1
March 2013

DISCLOSURE STATEMENT

Please note that the information in this guide is subject to change. Any changes will be available at www.myTRICARE.com.

This transaction set can be used to inquire about claim status associated with a subscriber or a dependent under the subscriber's policy.

The use of this document is solely for the purpose of clarification. The information describes specific requirements to be used in processing PGBA, LLC ASC X12/005010X212 Health Care Claim Status Inquiry (276/277) transactions.

Preface

This Companion Guide to the v5010 ASC X12N Implementation Guides and associated errata adopted under HIPAA clarifies and specifies the data content when exchanging electronically with PGBA, LLC. Transmissions based on this companion guide, used in tandem with the v5010 ASC X12N Implementation Guides, are compliant with both ASC X12 syntax and those guides. This Companion Guide is intended to convey information that is within the framework of the ASC X12N Implementation Guides adopted for use under HIPAA. The Companion Guide is not intended to convey information that in any way exceeds the requirements or usages of data expressed in the Implementation Guides.

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1. INTRODUCTION

Scope

Providers, billing services and clearinghouses are advised to use the ASC X12N 005010X212 Health Care Claim Status Inquiry (276) Implementation Guide as a basis for their claim status requests. This companion document should be used to clarify the business rules for 276/277 data content requirements, batch and real-time acknowledgment, connectivity, response time, and system availability specifically for submissions through the system. This document is intended for use with HTTPS transmissions with CAQH compliant systems.

Overview

The purpose of this document is to introduce and provide information about PGBA's CAQH solution for submitting real-time and batch 276/277 transactions.

References

CAQH CORE Phase I and II	www.caqh.org/benefits.php
ASC X12 TR3s	http://store.x12.org
Trading Partner Enrollment	www.myTRICARE.com
Trading Partner Agreement	www.myTRICARE.com

Additional Information

Submitters must have Internet (HTTPS) connection capability to submit a 276 request and receive 277 responses.

The submitter must be associated with at least one provider in the PGBA provider database.

Both real-time and batch 276 inquiries are supported.

This system supports inquiries for PGBA members only.

2. GETTING STARTED

Working with PGBA

Providers, billing services, and clearinghouses interested in submitting 276 inquiries and receiving 277 responses via PGBA should contact PGBA by visiting www.myTRICARE.com and clicking on Contact Us from the EDI page.

Please note that the information in this guide is subject to change. Any changes will be available at www.myTRICARE.com.

This transaction set can be used to inquire about the claim status of an associated subscriber or a dependent under the subscriber's policy.

The use of this document is solely for the purpose of clarification. The information describes specific requirements to be used in processing PGBA, LLC ASC X12/005010X212 Health Care Claim Status Inquiry (276) transactions.

Trading Partner Registration

Trading partners must enroll with the PGBA EDI Gateway (EDIG) to use the HTTPS connectivity channel. Prospective trading partners must complete and submit an EDIG Trading Partner Enrollment Form and the Trading Partner Agreement.

Please refer to section 5 of this Companion Guide for contact information and to the appendices for the forms.

Certification and Testing Overview

Trading Partners are required to submit test transactions to ensure that their systems are ASC X12 TR3 compliant. Each Trading Partner may submit up to 50 test transactions during the testing phase. Testing is coordinated as part of the trading partner enrollment process.

Please refer to section 5 of this Companion Guide for contact information.

3. TESTING WITH PGBA

Trading Partners must complete basic transaction submission testing with PGBA, LLC. Tests must be performed for each X12 transaction type.

EDIG is available to assist with new Trading Partner testing Monday – Friday, from 9:00 AM to 5:00 PM EST.

Table 1: Testing Process

Testing Steps	Test Instructions
Test Plan	EDIG and the trading partner agree to a predefined set of test data with expected results. In addition, a plan must be developed for a test to production transition that considers volume testing and transaction acceptance ratios.
Connectivity	EDIG-supported connectivity protocols are listed in section 4 of this Companion Guide.
Security	EDIG will validate approved trading partners are submitting transactions allowed per PGBA enrollment applications.
Data Integrity	Data integrity is determined by EDIG's TR3 editor. Testing cannot progress until a trading partner's data receives no TR3 edit errors. EDIG expects there may be an occasional situation in which a trading partner's TR3 edit interpretation differs from PGBA's interpretation. EDIG will work with the trading partner to resolve such differences on an individual basis.
Acknowledgment/ Response Transactions	Trading partners must demonstrate the ability to receive acknowledgment and response transactions via the HTTPS channels.

Testing Steps	Test Instructions
Results Analysis	EDIG and the trading partner will review acknowledgment and response transactions for consistency with the predefined expected results.

Transition from Test to Production Status

When test results have satisfied the test plan and the Trading Partner Agreement has been executed, the trading partner's submission status is changed from test to production. At this time the trading partner can begin to send production transaction data.

Please refer to the section 5 of this Companion Guide for EDIG contact information.

Testing URLs for Real-time and Batch

\SOAP: https://services.pgba.com/QA/9080/COREElectronicDataInterchange

MIME: https://services.pgba.com/mimeapi/QA/9080/COREElectronicDataInterchange

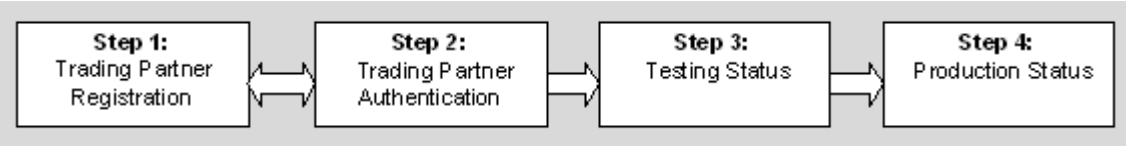
4. CONNECTIVITY WITH THE PAYER/COMMUNICATIONS

Trading Partner Registration Process Flow

To access the 276/277 application, potential Trading Partners need to register and obtain a trading partner ID from EDIG.

Figure 1 illustrates the high-level process for successfully registering as a Trading Partner and submitting 276 transactions:

Figure 1: Process for Submitting 276 Transactions



Step 1: Trading Partner Registration
Complete and submit the Trading Partner Enrollment Form and the Trading Partner Agreement. See the GETTING STARTED section of this Companion Guide.

Step 2: Trading Partner Authentication
EDIG will verify the information on the Trading Partner Agreement Form and approve or deny any Submitter ID requests.

Step 3: Testing Phase
EDIG will coordinate with a Trading Partner to send test transactions and verify that all systems involved can properly submit and receive X12 TR3 compliant transactions.

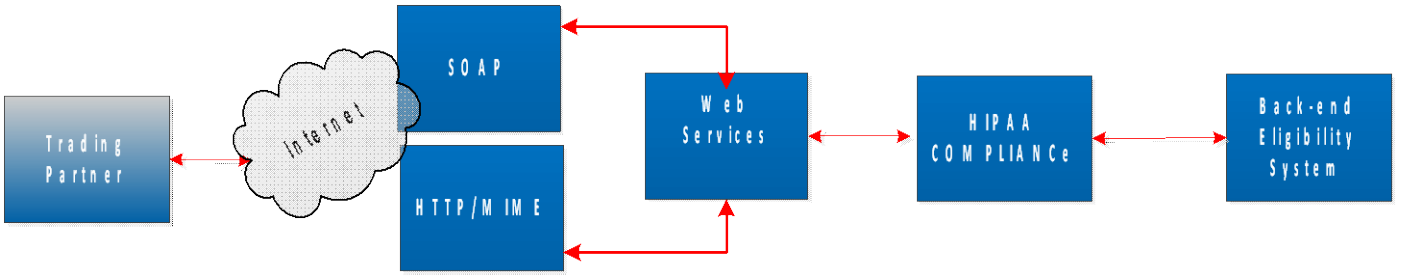
Step 4: Production Phase
Once testing is complete, a Trading Partner can begin to submit 276 transactions and receive 277 transactions in the Production environment.

Transaction Process Flow

A Trading Partner may submit a 276 request to the 276/277 application using Transmission Control Protocol/Internet Protocol (TCP/IP), Simple Object Access Protocol (SOAP) + Web Services Description Language (WSDL) or Hypertext Transfer Protocol (HTTP)/Multipurpose Internet Mail Extensions (MIME) Multipart communication protocols.

The Trading Partner is authenticated. If the Trading Partner is not authorized then the appropriate error response is returned. If the Trading Partner is authorized then the appropriate response is returned. Figure 2 illustrates the high-level process for communicating with the 276/277 application.

Figure 2: Transaction Process



PGBA is not doing the file list method, but the recommended method of returning the file itself.

Transmission Administrative Procedures includes Schedule, Availability, and Downtime Notification

EDIG's production environment is available 24 hours a day, 7 days a week, with the exception of Sundays between 3:00 PM – 10:00 PM EST when system maintenance is performed. The test environment is accessible Monday through Saturday from 5:00 AM to 10:00 PM EST.

Notification will be sent via E-mail for any unplanned downtime. There will be a two day notice for scheduled outages.

A follow-up email will be sent alerting the Trading Partners when the EDIG system becomes available.

Please refer to section 5 of this Companion Guide for contact information.

Re-Transmission Procedure

Trading Partners may call 800-868-2505 or E-mail EDIG.OPS@PalmettoGBA.com for assistance in researching problems with their transactions. EDIG will not edit Trading Partner eligibility data and/or resubmit transactions for processing on behalf of a Trading Partner. The Trading Partner must correct the transaction and resubmit following the same processes and procedures of the original file.

Communication Protocol Specifications

Trading Partners may connect to the 276/277 application via one of the following communication protocols:

- SOAP + WSDL
- HTTP MIME Multipart

To connect to the 276/277 application via SOAP or MIME, Trading Partners will need to authenticate with an X.509 Digital Certificate using the Transport Layer Security (TLS) 1.0 open standard for client certificate-based authentication. TLS 1.0 is required for compliance with the federally-mandated with Submitter Authentication Standard D in the Conformance Requirements.

Before a certificate can be procured from a Certificate Authority (CA), Trading Partners will need to generate a platform-specific Certificate Signing Request (CSR). Trading Partners are requested to review the CA-specific CSR process carefully and contact the CAs directly to obtain the certificate. The 276/277 application requires a certificate enabled with a minimum 128-bit SSL encryption.

Trading Partners must use one of the following CAs to procure a Digital Certificate:

- **DigiCert:** DigiCert provides “SSL Plus Certificates” which can be procured from http://www.digicert.com/welcome/ssl-plus.htm.

  Before procuring a certificate, Trading Partners are advised to review the information on certificate procurement and platform-specific CSR generation at this link: http://www.digicert.com/csr-creation.htm.

- **Entrust:** Entrust provides “Advantage SSL Certificates” which can be acquired from http://www.entrust.net/ssl-certificates/advantage.htm.

  Before acquiring a certificate, Trading Partners are advised to review the information on certificate procurement and platform-specific CSR generation at this link: http://www.entrust.net/ssl-technical/csr_faq.cfm.

- **Symantec (VeriSign):** Symantec issues VeriSign “Secure Site” SSL certificates which can be procured from http://www.symantec.com/verisign/ssl-

certificates/secure-site.

Before acquiring a certificate, Trading Partners are advised to review the information on certificate procurement and platform-specific CSR generation at this link: https://knowledge.verisign.com/support/ssl-certificates-support/index?page=content&actp=CROSSLINK&id=AR235.

NOTE: The certificates listed for each CA are the minimum level required to connect to the 276/277 application. Trading Partners may choose to procure a higher level certificate.

Before accessing the 276/277 application via SOAP or MIME, new and existing Trading Partners must provide the Digital Certificate to PGBA by contacting EDIG. EDIG will verify the certificate and initiate the process to configure Trading Partner access to the 276/277 application. If the Trading Partner's Digital Certificate has not been approved and properly configured, connection to the 276/277 application may be rejected.

For more information on the Communication Protocol Specifications for connecting to the 276/277 application, refer to the EDIG contact information provided in the CONTACT INFORMATION section of this Companion Guide.

SOAP + WSDL

The 276/277 application also supports transactions formatted according to SOAP conforming to standards set forth by the WSDL for Extensible Markup Language (XML) envelope formatting, submission, and retrieval.

SOAP XML Schema

The XML schema definition used by the 276/277 application is located at:

http://www.caqh.org/SOAP/WSDL/CORERule2.2.0.xsd

WSDL Information

The WSDL definition used by the 276/277 application is located at:

http://www.caqh.org/SOAP/WSDL/CORERule2.2.0.wsdl

SOAP Version Requirements

The 276/277 application requires that all SOAP transactions conform to SOAP Version 1.2.

Submission/Retrieval

SOAP transactions must be submitted to the 276/277 using the following URL:

https://services.pgba.com/PRODUCTION/9080/COREElectronicDataInterchange

All X12 payloads (defined in the CONNECTIVITY WITH THE PAYER/COMMUNICATIONS section of this Companion Guide) must be embedded using the Inline method (CDATA element) for SOAP transactions. For more information, refer to the W3C recommendation on SOAP messaging framework located at:

http://www.w3.org/TR/soap12-part1

SOAP Header Requirements

The SOAP Header should include the timestamp element and should be digitally signed. Detailed SOAP + WSDL envelope standards for CORE Phase II Connectivity are located at:

http://www.caqh.org/pdf/CLEAN5010/276-v5010.pdf

SOAP Body Requirements

Required PGBA-specific body elements for 276 requests using SOAP are defined in Table 2.

Table 2: Required Body Elements for 276 Requests Using SOAP

Element Name	Description
PayloadType	X12_276_Request_005010X212
ProcessingMode	RealTime or Batch
PayloadID	Refer to Section 4.4.2 of the Phase II CORE 276: Connectivity Rule for structural guidelines for CORE envelope metadata.
TimeStamp	Format is YYYY-MM-DDTHH:MMSSZ. Refer to http://www.w3.org/TR/xmlschema11-2/#dateTime for more information.
SenderID	This field should be 10 characters in length.
ReceiverID	571132733
CORERuleVersion	2.2.0
Payload	X12 request. This element must be digitally signed and the entire payload should be enclosed within a CDATA tag.

Table 3 defines PGBA-specific body elements for 277 responses using SOAP.

Table 3: Required Body Elements for 277 Responses Using SOAP

Element Name	Description
PayloadType	X12_276_Response_005010X212
ProcessingMode	RealTime or Batch
PayloadID	Refer to Section 4.4.2 of the Phase II CORE 276: Connectivity Rule for structural guidelines for CORE envelope metadata.
TimeStamp	Format is YYYY-MM-DDTHH:MMSSZ. Refer to http://www.w3.org/TR/xmlschema11-2/#dateTime for more information.
SenderID	571132733
ReceiverID	This field should be 10 characters in length.
CORERuleVersion	2.2.0
Payload	X12 response

SOAP Digital Signature

The SOAP communication protocol requires Trading Partners to digitally sign the message body and certain elements (i.e., TimeStamp) of the header. Refer to http://www.w3.org/TR/SOAP-dsig/ for details related to XML signatures.

SOAP Examples

Examples of a SOAP request and response can be found in Sections 4.2.2.3 and 4.2.2.4 of the CORE Phase II Connectivity Rule at this link: http://www.caqh.org/pdf/CLEAN5010/276-v5010.pdf

HTTP MIME Multipart

The 276/277 application also supports standard HTTP/MIME messages. The required MIME format is multipart/form-data. Responses to request transactions sent via this protocol will be returned in a MIME multipart form which contains the payload as an X12 document.

Submission/Retrieval

MIME transactions must be submitted to the 276/277 using the following URL:

https://services.pgba.com/mimeapi/PRODUCTION/9080/COREElectronicDataInterchange

A MIME transaction must be constructed exactly to the multipart/form-data specifications. Refer to http://www.faqs.org/rfcs/rfc2388.html for more information on multipart/form header and body specifications.

HTTP MIME Multipart Header Requirements

MIME transactions will include standard HTTP header data elements such as POST, HOST, Content-Length, and Content-Type. The supported Content-Type is “multipart/form-data.”

HTTP MIME Multipart Body Requirements

Since CORE does not specify naming conventions, PGBA will implement MIME with the same field names as SOAP. Required body elements for MIME transactions are defined in Table 4.

Table 4: Required Body Elements for 276 Requests Using MIME

Element Name	Description
PayloadType	X12_276_Request_005010X212
ProcessingMode	RealTime or Batch
PayloadID	Refer to Section 4.4.2 of the Phase II CORE 276: Connectivity Rule for structural guidelines for CORE envelope metadata.
TimeStamp	Format is YYYY-MM-DDTHH:MMSSZ. Refer to http://www.w3.org/TR/xmlschema11-2/#dateTime for more information.
SenderID	This field should be 10 characters in length.
ReceiverID	571132733
CORERuleVersion	2.2.0
Payload	X12 request. This element must be digitally signed and the entire payload should be enclosed within a CDATA tag.

Table 5 defines PGBA-specific body elements for 277 responses using SOAP or MIME.

Table 5: Required Body Elements for 277 Response Using MIME

Element Name	Description
PayloadType	X12_277_Response_005010X212
ProcessingMode	RealTime or Batch
PayloadID	Refer to Section 4.4.2 of the Phase II CORE 276: Connectivity Rule for structural guidelines for CORE envelope metadata.

Element Name	Description
TimeStamp	Format is YYYY-MM-DDTHH:MMSSZ. Refer to http://www.w3.org/TR/xmlschema11-2/#dateTime for more information.
SenderID	571132733
ReceiverID	This field should be 10 characters in length.
CORERuleVersion	2.2.0
Payload	X12 response

HTTP MIME Multipart Examples

Examples of a SOAP request and response can be found in Sections 4.2.1.1 and 4.2.1.2 of the CORE Phase II Connectivity Rule at this link: http://www.caqh.org/pdf/CLEAN5010/276-v5010.pdf

Security

The 276/277 application is located at a secure PGBA data center. The HTTPS connection requires a password and features a variety of security measures to protect the integrity of the 276/277 application. Trading Partners transmitting with SOAP or MIME must obtain a digital certificate and send the transaction to the 276/277 application via secure internet connection. Additionally the 276/277 application authorizes Trading Partners based on either their originating Internet Protocol (IP) address or digital certificate and their EDIG-issued 276/277 Submitter ID.

All Trading Partners must assume full responsibility for the privacy and security of all beneficiary data. PGBA holds Clearinghouse Submitters responsible for the privacy and security of eligibility transactions sent directly to them from Providers and requires them to be able to associate each inquiry with a Provider. Provider authentication must be established by the Clearinghouse outside of the transaction.

5. CONTACT INFORMATION

All inquiries and comments regarding Trading Partner registration, connectivity set-up, transaction testing, and 276/277 transaction submissions should be directed to EDIG Operations.

EDIG Operations is available at 800-868-2505 or EDIG.OPS@PalmettoGBA.com Monday through Friday, from 8:00 AM to 5:00 PM EST.

NOTE: The EDIG Operations E-mail account is monitored during normal business hours. E-mails are typically answered within 3 business days.

6. CONTROL SEGMENTS/ENVELOPES

The following sections describe the 276/277 transaction requirements to be used in conjunction with the requirements outlined in the ASC X12 TR3. Adhering to these requirements will help ensure that transactions received by the 276/277 application will pass the specified business edits.

All references to the ASC X12 276/277 TR3 assume the version referenced in section 1 of this Companion Guide.

Interchange Control Structure (ISA/IEA)

Table 6 describes the values to be populated in the ISA segment of the 276 request. The IEA segment should be populated as instructed by the ASC X12 TR3.

Table 6: 276 ISA Segment Rules

Segment Id	Data Element	Description
ISA01	Authorization Info Qualifier	03
ISA02	Authorization Information	EDIG assigned Trading Partner ID
ISA03	Security Information Qualifier	00
ISA04	Security Information	None
ISA05	Interchange ID Qualifier	01, 14, 20, 22, 27, 28, 29, 30, 33, ZZ (selected by trading partner)
ISA06	Interchange Sender ID	Assigned by trading partner
ISA07	Interchange ID Qualifier	30 (qualifier indicating U.S. Federal Tax Identification Number)
ISA08	Interchange Receiver ID	571132733
ISA09	Interchange Date	Populated by trading partner
ISA10	Interchange Time	Populated by trading partner
ISA11	Repetition Separator	Assigned by trading partner
ISA12	Interchange Control Version Number	00501
ISA13	Interchange Control Number	Assigned by the trading partner (must be unique for 12 months)
ISA14	Acknowledgment Requested	Assigned by the trading partner
ISA15	Usage Indicator	P, T (production or test indicator)

Segment Id	Data Element	Description
ISA16	Component Element	Separator Assigned by the trading partner

Functional Group Structure (GS/GE)

Table 7 describes the values to be populated in the GS segment of the 276 request. The GE segment should be populated as instructed by the ASC X12 276 TR3.

Table 7: 276 GS Segment Rules

Segment ID	Data Element	Description
GS01	Functional Identifier	Code Populated by trading partner
GS02	Application Sender's Code	EDIG assigned trading partner ID
GS03	Application Receiver's Code	571132733
GS04	Date	Populated by trading partner
GS05	Time	Populated by trading partner
GS06	Group Control Number	Assigned by trading partner (value must remain unique for one year)
GS07	Responsible Agency Code	X
GS08	Version/Release/Industry Identifier	Code populated by trading partner

7. PAYER-SPECIFIC BUSINESS RULES AND LIMITATIONS

This section describes the business rules and limitations of the 276/277 application.

All references to the ASC X12 276/277 TR3 assume the version referenced in section 1 of this Companion Guide.

General Structural Notes

- Trading Partners should follow the ST/SE guidelines outlined in the 276 section of TR3.
- Trading Partners should follow the ISA/IEA and GS/GE guidelines for HIPAA in Appendix C of the TR3 and follow the 999 and TA1 guidelines outlined in the Implementation Acknowledgement for Health Care Insurance.
- Trading Partners must follow the character set guidelines as defined in Section B.1.1.2.5 of TR3.

- PGBA recommends use of the request delimiters in Table 8.

Table 8: Preferred 276 Request Delimiters

Character	Name	Delimiter
*	Asterisk	Data Element Separator
>	Greater Than	Component Element Separator
~	Tilde	Segment Terminator
^	Carat	Repetition Separator

8. ACKNOWLEDGEMENTS AND ERROR CODES

TA1

The TA1 Interchange Acknowledgement is used by the 276/277 application to communicate the rejection of a 276 request based on errors encountered with X12 compliance, formatting, or PGBA specific requirements of the ISA/IEA Interchange segments.

A TA1 may be returned if one of the following conditions exists:

- A 276 request is received and the version of the transmission cannot be determined.
- A 276 request is received and the version of the transmission is unsupported by the 276/277 application. This includes previously accepted versions that are no longer supported.
- The Trading Partner has not been authorized for the submitted X12 version.

277

When the 276 request complies with the X12 TR3 standard syntax requirements and all additional formatting rules as specified by this Companion Guide, then a 277 response is returned to the Trading Partner. If no error exists, the claim status data will be returned within the 277 response. Refer to section 10 of this Companion Guide for more information.

Proprietary Error Message

Proprietary error messages will be sent only when the ISA segment of the 276 request cannot be read, making it impossible to formulate an ISA segment for a 277 response. The proprietary message will return error codes and descriptions. Trading Partners may contact EDIG for assistance with Proprietary Errors. The format for the proprietary messages is described in

Table 10.

Table 10: Proprietary Error Message

Data Element	Description	Size	Comments
Transaction ID	Transaction ID	4	Data content will be “HETS”
Transaction Reference Number	Trace Identification Number or (ISA13)	30	
Date Stamp	System Date	8	CCYYMMDD
Time Stamp	System time	9	HHMMSSSSS
Response Code	ISA Formatting Error	2	“ I” – Incoming ISA cannot be read *OR* “D” – Delimiter cannot be identified
Message Code	Error Code	8	Error code, refer to Table 9 of this Companion Guide
Message Text Description	Error Descriptions	500	“ – *Message Text Description*”, refer to Table 9 of this Companion Guide

Table 11 describes the Proprietary Error Message Codes.

Table 11: Proprietary Error Message Codes

Message Code	Message Text Description
HTS00101	Transmission Wrapper SOH (hex = 01) is invalid or missing
HTS00102	Transmission Wrapper STX (hex = 02) is invalid or missing
HTS00103	Transmission Wrapper ETX (hex = 03) is invalid or missing
HTS00104	Transmission Wrapper Length is missing or not numeric
HTS00105	Transmission Wrapper Length is greater than the Transmission Length
HTS00106	Transmission data is invalid or not ASCII
HTS00107	HIPAA 276 transaction does not start with ISA (Segment ID)
HTS00111	Transmission Inbound Message was empty
HTS00115	Interchange Error - Message specific to the condition will also be included in the error message description.

Message Code	Message Text Description
HTS00116	Syntax Error - Message specific to the condition will also be included in the error message description.
HTS00117	Transmission Error - Message specific to the condition will also be included in the error message description.

Common Error Processing for SOAP+WSDL and HTTP MIME/Multipart

The 276/277 application will process SOAP and MIME transactions and return errors as described in this section.

HTTP Status and Error Codes

The processing and error codes for the HTTP layer are defined as part of the HTTP specifications: http://www.w3.org/Protocols/rfc2616/rfc2616-sec10.html. The intended use of these status and error codes in processing transactions is specified in Table 4.3.3.1 of the Phase II CORE 276: Connectivity Rule. This document is located at: http://www.caqh.org/pdf/CLEAN5010/276-v5010.pdf.

Envelope Processing Status and Error Codes

Table 12 describes envelope processing status and error codes specific to the 276/277 application for SOAP and MIME transactions.

Table 12: Envelope Processing Status and Errors

Error Code	Error Message
<FieldName>Illegal	Illegal value provided for <FieldName>.
<FieldName>Required	The field <FieldName> is required but was not provided.
VersionMismatch	The version of the envelope sent is not acceptable to the receiver.
Invalid Payload	Payload is invalid or does not start with ISA.
Success	Envelope was processed successfully.

SOAP-Specific Processing Errors

Table 13 describes examples of SOAP processing errors.

Table 13: SOAP-Specific Processing Errors

Error Code	Error Message
nonconforming.content	No signature in message!
nonconforming.content	No signature in the WS-Security message for the configured SOAP actor/role
nonconforming.content	Unsupported or unrecognized Signature signer format in the message
nonconforming.content	*Certificate not found*
nonconforming.content	Illegal value provided for ProcessingMode
nonconforming.content	Found <Fieldnamevalue> (in default namespace), but next item should be <Fieldname>
env:Client	There was an error in the incoming SOAP request
env:Client	Processing Mode cannot be empty. Value expected is RealTime

MIME-Specific Processing Errors

Table 14 describes examples of MIME processing errors.

Table 14: MIME-Specific Processing Errors

Error Code	Error Message
nonconforming.content	ProcessingMode value <FieldValue> is not a valid instance of type RealTimeMode
env:Client	ProcessingMode of type RealTimeMode may not be empty

SOAP and MIME Transaction Error Processing

Transaction processing errors, described in the ACKNOWLEDGEMENTS AND ERROR CODES section of this Companion Guide, will be returned as a SOAP message or MIME Multipart/form-data containing the related response. Refer to those sections for additional information.

9. TRADING PARTNER AGREEMENTS

Trading Partner enrollment is required to submit 276 requests to the 276/277 application. Refer to the GETTING STARTED section of this Companion Guide under Trading Partner Registration for information regarding enrollment as a Trading Partner.

The 276/277 application will validate a trading partner’s access to our environment prior to

processing their 276 transaction. If the Trading Partner (ISA06) cannot be validated, an error message is returned.

Trading Partners may not send transactions to be executed as Usage Indicator (ISA15) = “P” until testing has been accomplished and approval to submit production transactions has been given. The 276/277 application will return an error.

10. TRANSACTION SPECIFIC INFORMATION

All references to TR3 in this section assume the ASC X12 TR3 276/277 version referenced in section 1 of this Companion Guide.

276 Claim Status Request Transaction

This section describes the values required by PGBA in the 276 claim status request transaction.

Any segments or elements not referenced in Tables 15 or 16 should be sent on the 276 per TR3.

Information Source Level Structures

Table 15: Information Source

TR3 Page #	Loop ID	Reference	X12 Implementation Name	Codes	Notes/ Comments
51	2100C	NM101	Entity Identifier Code	PR	
51	2100C	NM102	Entity Type Code	2	
51	2100C	NM103	Organization name		TRICARE
51	2100C	NM108	Identification Code Qualifier	PI	
51	2100C	NM109	Identification Code		571132733

Information Receiver Level Structures

Table 16: Information Receiver

TR3 Page #	Loop ID	Reference	X12 Implementation Name	Codes	Notes/ Comments
77	2100B	NM108	Identification Code Qualifier	XX FI 34 SV	NPI Federal Taxpayer Identification Number. Social Security Number Service Provider Number

Patient-Level Structures

Table 17: Patient

TR3 Page #	Loop ID	Reference	X12 Implementation Name	Codes	Notes/ Comments
57	2100D	NM108 NM109	Member Identification subscriber's ID number	MI	Must be the TRICARE member ID of the insured sponsor.

277 Claim Status Response Transaction

This section describes the values returned by PGBA in the 277 claim status response transaction. The following tables describe the PGBA utilization of segments and elements when there is a type of uniqueness or restriction. All other values comply with the TR3.

Table 18: Information Source

TR3 Page #	Loop ID	Reference	X12 Implementation Name	Codes	Notes/ Comments
218	2100A	NM101	Entity Identifier Code	PR	N/A
220	2100A	NM108	Identification Code Qualifier	PI	N/A
220	2100A	NM109	Information Source Primary Identifier		TRICARE

Table 19: Information Receiver

TR3 Page #	Loop ID	Reference	X12 Implementation Name	Codes	Notes/ Comments
234	2100B	NM108	Identification Code Qualifier	XX	N/A
235	2100B	NM109	Information Receiver Identification Number	XX FI 34 SV	NPI Federal Taxpayer Identification Number. Social Security Number Service Provider Number

11. APPENDIX A – IMPLEMENTATION CHECKLIST

PGBA suggests entities use this information as a checklist of steps to become a submitter: Read and review this guide.

- Contact PGBA Technology Support Center at 803-736-5980 or 800-868-2505 with questions (if any).
- Get user ID and password.
- Send at least one test transaction. (These tests must be performed for each different transaction type that a trading partner is approved to submit to EDIG.)
- Begin submitting transactions.

12. APPENDIX B – SAMPLE 276/277

This example includes the minimum required data elements for a 276 request. Additional data may be provided but will not affect the 277 response.

Sample 276

ISA*03*7GWZZM2SCS*01*A70L1SA3 *ZZ*571132733 *ZZ*571132733 *130318*0935*^*00501*076575000*0*T*>~
GS*HR*7GWZZM2SCS*7GWZZM2SCS*20130318*0935*331001*X*005010X212~
ST*276*000000001*005010X212~
BHT*0010*13*0765750003310010000000001*20130318*093522~
HL*1**20*1~
NM1*PR*2*TRICARE*****PI*571132733~
HL*2*1*21*1~NM1*41*2*TRICARE EDI*****46*571132733~
HL*3*2*19*1~NM1*1P*2*ST FRANCIS HOSPITAL*****XX*1919191919~
HL*4*3*22*0~
DMG*D8*19600816*M~
NM1*IL*1*SMITH*BOBBY*S***MI*796144610~
TRN*1*201210090000000873U~
REF*BLT*131~
REF*6P*42YT800Q~
REF*EJ*LOU/2011 OCT 28~
AMT*T3*1840~
DTP*472*D8*20120912~
SE*18*000000001~
GE*1*331001~
IEA*1*076575000~

Sample 277

ISA*00* *00* *ZZ*571132733 *ZZ*571132733 *130321*1503*^*00501*076575000*0*T*>~
GS*HN*7GWZZM2SCS*7GWZZM2SCS*20130321*150303*519*X*005010X212~
ST*277*000000010*005010X212~
BHT*0010*08*076575000*20130321*1503*DG~
HL*1**20*1~
NM1*PR*2*TRICARE*****PI*571132733~
HL*2*1*21*1~
NM1*41*2*TRICARE EDI*****46*571132733~
HL*3*2*19*1~
NM1*1P*2*ST FRANCIS HOSPITAL*****XX*1919191919~

HL*4*3*22*0~
NM1*IL*1*SMITH*BOBBY*S***MI*796144610~
TRN*2*201210090000000873U~
STC*F1>1*20121017**1840*670.54*20121017**20121017*0010000156~
REF*1K*2285X00510000~
REF*BLT*131~
REF*EJ*LOU/2011 OCT 28~
DTP*472*RD8*20120912-20120912~
SE*17*000000010~
GE*1*519~
IEA*1*076575000~

13. APPENDIX C – TRADING PARTNER ENROLLMENT

Enrollment with the EDI Gateway requires prospective trading partners to complete and submit the PGBA EDIG Trading Partner Enrollment Form and the Trading Partner Agreement. The purpose of the PGBA EDIG Trading Partner Enrollment Form is to enroll providers, software vendors, clearinghouses and billing services as trading partners and recipients of electronic data. It is important you follow these instructions and complete all the required information. We will return incomplete forms to the applicant, which could delay the enrollment process.

The enrollment form is in the Appendix of the EDI Gateway Technical Communications User's Manual and is also available at the HIPAA Critical Center. You should complete enrollment forms electronically and email them to EDIG.OPS@PalmettoGBA.com. Use your TAB key to move forward through the form fields or click your cursor in a desired field or box. Be sure to save the file after you have completed the form.

The Trading Partner Agreement is a legal document. All trading partners are required to print, complete and return the originally signed hard copy via mail prior to being moved to production status. The PGBA Trading Partner Agreements can be found at the HIPAA Critical Center. The PGBA Trading Partner Agreement can be found on myTRICARE.com in the Electronic Claims Filing section.

If you are a prospective PGBA, LLC trading partner, print and mail a hard copy of the completed Trading Partner Agreement to:

Palmetto GBA
Attention: EDIG Operations, AG-280
2300 Springdale Drive, Building One
Camden, SC 29020-1728

Table 20 will help trading partners complete the enrollment form.

Table 20: Enrollment Form Instructions

Form Field Name	Instructions for Field Completion	Req.
Date	Enter today's date.	1 2 3
Action Requested: New Trading Partner ID Change Cancel	Indicate the action to be taken on the enrollment form. Note: Depending on the requested action, different fields of this form are required. These are identified in the column at right. 1. To apply for a new Trading Partner ID, check **New Trading Partner ID**. 2. To change Trading Partner information, check **Change**. 3. To cancel your enrollment, check **Cancel**.	 1 2 3
Trading Partner Name	Enter the name of the entity that will be submitting/receiving electronic transactions with BlueCross BlueShield of South Carolina EDIG.	1 2 3
Trading Partner ID	EDIG assigns the Trading Partner ID to identify trading partners in our system.	2 3
Federal Tax ID #	Enter the trading partner's federal tax identification number.	1
Type of Business	Select the type of primary business the trading partner conducts. If you check "Other," indicate the type of business on the line provided.	1
Line of Business	Check one box per enrollment form indicating if transactions are BlueCross BlueShield of South Carolina Commercial or PGBA.	1
Start Date	Indicate, in mm/dd/ccyy format, the date the trading partner plans to begin transaction testing with BlueCross BlueShield of South Carolina EDIG.	1
End Date	If you are using this form to cancel an account, indicate, in mm/dd/ccyy format, the date the trading partner intends to terminate its trading partner account.	3
Compression	If you wish to download your files in a compressed format, check **PKZIP** or **UNIX**. If not, check **No Compression**.	1
Protocol	Check the preferred communication method. If you select the **HTTPS** channel, please follow instructions in the CORE Companion Guide. If you select **Secure FTP or VPN**, complete and return the "SFTP/VPN Customer Parameter Survey" and attach your public key ID file to your email. If you select **TCPIP via VPN**, complete and return the "BlueCross BlueShield of South Carolina Commercial TCPIP via VPN Customer Connectivity Parameter Survey" and/or the "PGBA TCPIP via VPN Customer Connectivity Parameter Survey." If you select **NDM**, complete the "BlueCross BlueShield of South Carolina Commercial NDM Customer Connectivity Parameter Survey" and/or the "PGBA NDM Customer Connectivity Parameter Survey." All Customer Connectivity Parameter Survey forms are in the Appendix of the EDI Gateway Technical Communications User's Manual. Please complete and return the form to EDIG.SUPPORT@PalmettoGBA.com.	1
Service Address	Enter the trading partner's complete address (including street, city, state and ZIP). This address must be the physical location for your business.	1 2

Form Field Name	Instructions for Field Completion	Req.
Billing Address	If different from the service address, enter the trading partner's billing (or mailing) address (including street, city, state and ZIP).	1 2
Primary Business Contact's Information	The name, email address, telephone number and fax number of the trading partner's primary business contact. This is the person BlueCross BlueShield of South Carolina EDIG will contact if there are questions regarding the enrollment or future questions about the account.	1 2
Technical Contact's Information	The name, email address, telephone number and fax number of the trading partner's technical contact. This is the person BlueCross BlueShield of South Carolina EDIG will contact if there are technical questions or problems.	1 2
After Hours Technical Contact's Information	The name, email address, telephone number and fax number of the trading partner's after hours technical contact. This is the person BlueCross BlueShield of South Carolina EDIG will contact if there are technical questions or problems after normal business hours.	1 2
On-Call Technical Contact's Information	The name, email address, telephone number and fax number of the trading partner's on-call technical contact. This is the person BlueCross BlueShield of South Carolina EDIG will contact if there are technical questions or problems after normal business hours when it is unable to contact the After Hours Technical Contact.	1 2
Transaction Volume Estimates	Mark yes (Y) or no (N) for each mode. If you mark yes, indicate the average number of transactions you anticipate submitting each week.	1

Date: _____

Action Requested: (Check One) ☐ New Trading Partner ID ☐ Change ☐ Cancel

Trading Partner's Name: _____

Trading Partner's ID: _____

Federal Tax ID #: _____

Type of Business: (Check One) ☐ Institutional Health Care Provider ☐ Clearinghouse ☐ Billing Service ☐ Professional Health Care Provider ☐ Health Care Plan ☐ Retail Pharmacy ☐ Pharmacy Benefit Manager ☐ Software Vendor ☐ Other *(indicate)*: _____

Line of Business: (Check One) ☐ BlueCross BlueShield of South Carolina Commercial ☐ PGBA, LLC

Start Date: _____ (mm/dd/ccyy) **End Date:** _____ (mm/dd/ccyy) *(Required when canceling an account)*

Compression: (Check One) ☐ No Compression ☐ PKZIP ☐ UNIX

Protocol: (Check One) ☐ NDM ☐ FTP DIALUP ☐ ASYNC DIALUP (product)_____ ☐ Secure FTP ☐ VPN ☐ TCPIP via VPN ☐ TCPIP via AGNS ☐ HTTPS/SOAP ☐ HTTPS/MIME

Service Address

Address 1: _____

Address 2:

City/State/ZIP: _____

Billing Address (If different from the Service Address)

Address 1: _____

Address 2:

City/State/ZIP: _____

Primary Business Contact's Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

Primary Technical Contact's Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

After Hours Technical Contact's Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

On-Call Technical Contact's Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

Transaction Volume Estimates

Transmission*	Y/N**	Avg. Trans†	Transmission*	Y/N**	Avg. Trans†
ASC X12N 270 (005010X279A1)	☐	_____/wk	ASC X12N 837I (005010X223A2)	☐	_____/wk
ASC X12N 271 (005010X279A1)	☐	_____/wk	ASC X12N 837P(005010X222A1)	☐	_____/wk
ASC X12N 276 (005010X212)	☐	_____/wk	ASC X12N 837D (005010X224A2)	☐	_____/wk
ASC X12N 277 (005010X212)	☐	_____/wk	ASC X12N 835 (005010X221A1)	☐	_____/wk
ASC X12N 278 (005010X217)	☐	_____/wk	ASC X12N 834 (005010X220A1)	☐	_____/wk

* Versions supported as of 01/01/2012 † Average number of transactions per week ** Yes / No

For every box you checked "Y," provide the average # of transactions to be submitted weekly.

Vendor's Information

If a vendor's software is used to create ASC X12N transactions submitted to the EDI Gateway, please provide the vendor's name and address and list the transactions.

Vendor's Name: _____

Address 1: _____

Address 2: _____

City/State/ZIP: _____

Transactions: _____

Customer's Information

If your business is authorized to send or receive transactions on behalf of another entity, please provide the entity's name, federal tax identification number and national provider identifier number. **This is required for all transactions.**

Name	Federal Tax Identification Number	National Provider Identifier Number

If you are a clearinghouse or software vendor and would like to be added to the Certified Vendor list on www.myTRICARE.com, please provide this information:

Website Address/URL: _____

Salesperson's Name and Telephone #: _____

If you would like to provide additional contact information, please do so here. On the description line give a brief explanation or purpose for the additional contact.

Additional Contact Information

1st Additional Contact Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

2nd Additional Contact Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

3rd Additional Contact Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

4th Additional Contact Information

First/Last Name: _____ **Email:** _____

Telephone: ( ) ___-____ ext._____ **Fax:** ( ) ___-____

14. APPENDIX D – CLEARINGHOUSE TRADING PARTNER AGREEMENT

CLEARINGHOUSE ELECTRONIC TRADING PARTNER AGREEMENT

Agreement No.:

This Electronic Trading Partner Agreement ("Agreement") is entered into as of the day of _____, 2012 ("Effective Date"), by and between PGBA and its subsidiaries, and _____ ("Trading Partner").

RECITALS

WHEREAS, Trading Partner acts as a Business Associate to certain Providers and submits electronic transactions to PGBA on behalf of such Providers; and

WHEREAS, both Parties are entering into this Agreement to facilitate, through transmission via electronic formats consistent with or otherwise allowed by Social Security Act § 1173 and the Standards for Electronic Transactions, 45 C.F.R. Parts 160 and 162, as may be amended or modified from time to time ("Transaction Rules"), the submission and payment of claims for medical services and supplies rendered or sold to Covered Individuals by Providers;

NOW, THEREFORE, in consideration for the mutual promises herein, the Parties agree as follows:

I. DEFINITIONS

The following terms with initial capitals have these meanings:

1.1 **ANSI** means American National Standards Institute; an organization whose Accredited Standards Committee develops and approves uniform standards for the electronic interchange of business transactions.

1.2 **Business Associate** means an entity meeting the definition of 45 C.F.R. Part 160.103.

1.3 **Confidential Health Information** means information relating to specific Individuals, including Individually Identifiable Health Information and Health Information, that is exchanged by and between PGBA and Trading Partner or Providers for various business purposes, and that is protected from disclosure to unauthorized persons or entities by Social Security Act § 1171 *et seq.*, the Standards for Privacy of Individually Identifiable Health Information, 45 C.F.R. Parts 160 and 164, the Privacy Act of 1974 (5 U.S.C. § 552A), or other applicable state and federal statutes and regulations, including statutes and regulations protecting the privacy of general medical, mental health and substance abuse records (collectively "Privacy Statutes and Regulations").

1.4 **Covered Individual** means an Individual who is eligible for payment of certain services or supplies rendered or sold to the Individual or to the Individual's eligible dependents under the terms, conditions, limitations and exclusions of a health benefit program issued or administered by PGBA or a health benefit program issued or administered by another Payor.

1.5 **Data Transmission** means automated transfer or exchange of data, pursuant to the terms and conditions of this Agreement, between PGBA and Trading Partner by means of their respective Operating Systems, which are compatible for that purpose, and includes without limitation Electronic Data Interchange ("EDI"), Electronic Remittance Advice ("ERA") and Electronic Media Claims ("EMC") transmissions.

1.6 **Electronic Data Interchange ("EDI")** means the automated exchange of business documents from application to application.

1.7 **Electronic Media Claims ("EMC")** means automated methods of submitting claims for payment of medical services or supplies rendered or sold by a Provider or Supplier to an Individual.

1.8 **Electronic Remittance Advice ("ERA")** means a document containing information pertaining to the disposition of a specific claim for payment of services or supplies rendered to an Individual that a Provider or Supplier files with PGBA on the Individual's behalf. The documents include, without limitation, information such as the Provider or Supplier name and address, Individual's name, date of service, amount billed, amount paid, whether the claim is approved or denied, and if denied, the reason for the denial.

1.9 **Envelope** means a control structure in a format required by this Agreement for the electronic interchange of one or more encoded Data Transmissions between PGBA and Trading Partner.

1.10 **Health Information** means any information, whether oral or recorded in any form or medium that (i) is created or received by a Provider, health plan, public health authority, employer, life insurer, school, university or health care clearinghouse and (ii) relates to the past, present, or future physical or mental health or condition of an Individual, the provision of health care to an Individual or the past, present, or future payment for the provision of health care to an Individual.

1.11 **Individual** means a person whose claims for services or supplies may be eligible to be paid under the terms of an applicable governmental or private program for which PGBA processes or administers claims, and specifically includes without limitation Medicare Eligible Individuals, Medicaid Eligible Individuals and Covered Individuals. Trading Partner acknowledges and agrees that claim payments made according to this Agreement will be made directly either to Providers on behalf of the Individual, or directly to the Individual, at PGBA's discretion.

1.12 **Individually Identifiable Health Information** means any Health Information, including demographic information collected from an Individual, that is created or received by a Provider, health plan, employer or health care clearinghouse and either (i) identifies an

Individual or (ii) creates a reasonable basis to believe the information can be used to identify the Individual.

1.13 **Operating System** means the equipment, software and trained personnel necessary for a successful Data Transmission.

1.14 **Payor** means a business organization that provides benefit payments for certain services or supplies rendered or sold to Covered Individuals or their eligible dependents under the terms, conditions, limitations and exclusions of a health benefit program issued or administered by the Payor.

1.15 **Proprietary Information** means information used or created by PGBA in the conduct of its business activities that is not normally made available to PGBA's customers, competitors or third parties, the disclosure of which will or may impair PGBA's competitive position or otherwise prejudice PGBA's ongoing business.

1.16 **Provider** means a customer of Trading Partner that operates as a hospital or professional practitioner duly certified or licensed to provide health care services to Covered Individuals, and includes, without limitation, extended care facilities, skilled nursing facilities, rehabilitation facilities, home health agencies, hospices, physicians, dentists, clinical social workers, ambulance services, and hospitals or professional practitioners specifically certified or approved by HHS to provide reimbursable health care services to Medicare Eligible Individuals.

1.17 **Security Access Codes** mean alphanumeric codes that PGBA assigns to Trading Partner to allow Trading Partner access to PGBA's Operating System for the purpose of successfully executing Data Transmissions or otherwise carrying out this Agreement.

1.18 **Source Documents** mean documents containing Data that are or may be required as part of a Data Transmission concerning a claim for payment of charges for medical services that a Provider furnishes or medical supplies that a Supplier sells to a Covered Individual. Source Documents are subject to the security standards of Article V of this Agreement. Examples of Data contained within a Source Document include, without limitation, Individual's name and identification number, claim number, diagnosis codes for the services rendered, dates of service, service procedure descriptions, applicable charges for the services rendered, the Provider's or Supplier's name and/or identification number, and signature.

1.19 **Supplier** means a person or organization that is a customer of Trading Partner and is engaged in the business of selling or leasing durable medical equipment or supplies to Covered Individuals.

1.20 **Trade Data Log** means the complete, written summary of Data and Data Transmissions exchanged between the Parties over the period of time this Agreement is in effect and includes, without limitation, sender and receiver information, and transmission date, time and general nature.

II. TERM AND TERMINATION

2.1 **Term of Agreement**. This Agreement will remain in effect for an initial period of three (3) year(s) from the Effective Date, and will automatically renew for successive periods of three (3) year(s) unless terminated pursuant to Section 2.2 or Section 2.3.

2.2 **Voluntary Termination**. Either Party may terminate this Agreement upon one hundred twenty (120) day(s) prior written notice to the other Party.

2.3 **Termination for Cause**. PGBA will have the unilateral right to terminate this Agreement immediately by providing Trading Partner with written notice of termination in the event of (i) a breach by Trading Partner of any section of Article V or of Article VII of this Agreement; or (ii) Trading Partner, any of its related business entities or any of its officers, directors, managing employees, Providers or Suppliers is charged with a criminal offense relating to one or more government contracts or government subcontracts or to federal health care programs (as defined in Social Security Act § 1128B(f)), listed by a federal agency as debarred, proposed for debarment, or suspended, or otherwise excluded from federal program participation, including exclusion from participation in a federal health care program (as defined in the Social Security Act § 1128B(f)).

III. OBLIGATIONS OF THE PARTIES

3.1 **Mutual Obligations**. The mutual obligations of PGBA and Trading Partner include the following:

(a) **Transmission Format**. All standard transactions, as defined by Social Security Act § 1173(a) and the Transaction Rules, conducted between PGBA and Trading Partner, will be conducted electronically and will only use code sets, data elements and formats specified by the Transaction Rules and the then current version of the PGBA Supplemental Implementation Guides. The PGBA Supplemental Implementation Guides and any updates or amendments thereto may be accessed at http://www.southcarolinablues.com and are incorporated herein by reference. This section will automatically amend to comply with any final regulation or amendment to a final regulation adopted by HHS concerning the subject matter of this Section upon the effective date of the final regulation or amendment.

(b) **Testing**. Prior to the initial Data Transmission, each Party will test and cooperate with the other Party in testing the connectivity and interaction of the Parties' Operating Systems to ensure the accuracy, timeliness, completeness and confidentiality of each Data Transmission.

(c) **Data Transmission Accuracy**. The Parties will take reasonable care to ensure that Data Transmissions are timely, complete, accurate and secure. Each Party will take reasonable precautions in accordance with Article V of this Agreement to prevent unauthorized access to the other Party's Operating System, Data Transmissions or the contents of an Envelope transmitted to or from either Party.

(d) **Retransmission of Lost or Indecipherable Transmissions**. A Party will retransmit the original transmission within three (3) business day(s) of its discovery that a Data Transmission is a lost or indecipherable Transmission.

(e) **Equipment Cost**. Each Party will obtain and maintain, at its own expense, its own Operating System necessary for timely, complete, accurate and secure Data Transmission pursuant to this Agreement. Each Party will pay its own costs related to Data Transmission under this Agreement, including, without limitation, charges for the Party's own Operating System equipment, software and services, maintaining an electronic mailbox, connection time, terminals, connections, telephones, modems and applicable minimum use charges. Each Party will be responsible for its own expenses incurred for translating, formatting and sending or receiving communications over the electronic network to any electronic mailbox of the other Party.

(f) **Backup Files**. Each Party will maintain adequate backup files, electronic tapes or other sufficient means to recreate a Data Transmission for at least six (6) years from the Data Transmission's creation date. Such backup files, tapes or other sufficient means will be subject to the terms of Article V of this Agreement to the same extent as the original Data Transmission.

(g) **Data and Data Transmission Security**. PGBA and Trading Partner will employ security measures necessary to protect Data and Data Transmissions between them, including authentication, encryption, password use, or other security measures in compliance with Social Security Act § 1173(d) and any HHS implementing regulations or guidelines and as set forth in Article V of this Agreement. Unless PGBA and Trading Partner agree otherwise, the recipient of data or Data Transmission will use at least the same level of protection for any subsequent transmission as was used for the original transmission.

(h) **Security Access Codes**. The Security Access Codes that PGBA issues to Trading Partner will, when affixed to Data Transmissions, be legally sufficient to verify the identity of the transmitter and to authenticate the Data Transmission, thereby establishing the Data Transmission's validity. Data Transmissions having a Security Access Code affixed to them will be deemed to have been "written" or "signed" by the sender. Computer printouts of the information contained in such correspondence and documents that have been electronically or magnetically recorded and kept in the normal course of the sender's or receiver's business will be considered original business records admissible in any judicial, arbitration, mediation or administrative proceeding to the same extent and under the same conditions as other business records originated and maintained in documentary form.

3.2 **Trading Partner Obligations**. Trading Partner will:

(a) Not copy, reverse engineer, disclose, publish, distribute, alter or use Data, Data Transmission or Envelope for any purpose other than for which PGBA has specifically authorized Trading Partner under the terms of this Agreement.

(b) Not obtain access by any means to data, Data Transmission, Envelope, or PGBA's Operating System for any purpose other than as PGBA has specifically granted Trading Partner access under this Agreement. In the event that Trading Partner

receives data or Data Transmissions not intended for Trading Partner, Trading Partner will immediately notify PGBA and make arrangements to retransmit or otherwise return the data or Data Transmission to PGBA. After such retransmission or return, Trading Partner will immediately delete the data and Data Transmission from its Operating System.

(c) Protect and maintain the confidentiality of Security Access Codes issued to Trading Partner by PGBA, and limit disclosure of Security Access Codes to authorized personnel on a need-to-know basis.

(d) Provide PGBA in writing all information requested in Exhibit A to this Agreement not later than Trading Partner's execution of this Agreement. While this Agreement is in effect, Trading Partner will notify PGBA in writing within one (1) business day of any material change in the information on Exhibit A to this Agreement.

3.3 **Obligations**. PGBA will:

(a) Make available to Trading Partner, via electronic means, data and Data Transmissions for which this Agreement grants Trading Partner access or authorization, or as provided by law.

(b) Provide Trading Partner with at least sixty (60) days prior written notice of any change or addition to the PGBA Supplemental Implementation Guides, code sets, data elements or formats for Data Transmissions set forth in Section 3.1(a) of this Agreement.

(c) Provide Trading Partner with Security Access Codes that will allow Trading Partner to exchange Data Transmissions with PGBA's Operating System. PGBA reserves the right to change Security Access Codes at any time and in such manner as PGBA, in its sole discretion, deems necessary.

IV. PROVIDERS AND SUPPLIERS

4.1 **Provider and Supplier Obligations**. Trading Partner will ensure that Providers and Suppliers will be bound by the mutual obligations of the Parties set forth in Section 3.1 and Trading Partner's obligations set forth in Section 3.2, even though Providers and Suppliers are not signatories to this Agreement.

4.2 **Responsibility for Providers and Suppliers**. Trading Partner is liable to PGBA for any act, failure, or omission of any Provider and/or Supplier with whom Trading Partner contracts or for whom Trading Partner receives, transmits stores or processes data or Data Transmissions or performs related activities, as though the act, failure or omission were that of Trading Partner.

4.3 **Notices Regarding Providers**. Trading Partner will notify PGBA at least fourteen (14) days prior to the addition or deletion of any Provider and/or Supplier from the list

contained in Exhibit A of Providers and Suppliers for whom Trading Partner submits data or Data Transmissions to PGBA.

15. APPENDIX E – REVISION HISTORY

Table 21 provides a summary of changes made to this document.

Table 21: Document Revision History

Version	Date	Description of Changes
1.1	03/26/2013	Edited for format.
1.0	12/10/2012	CORE 276/277 Companion Guide